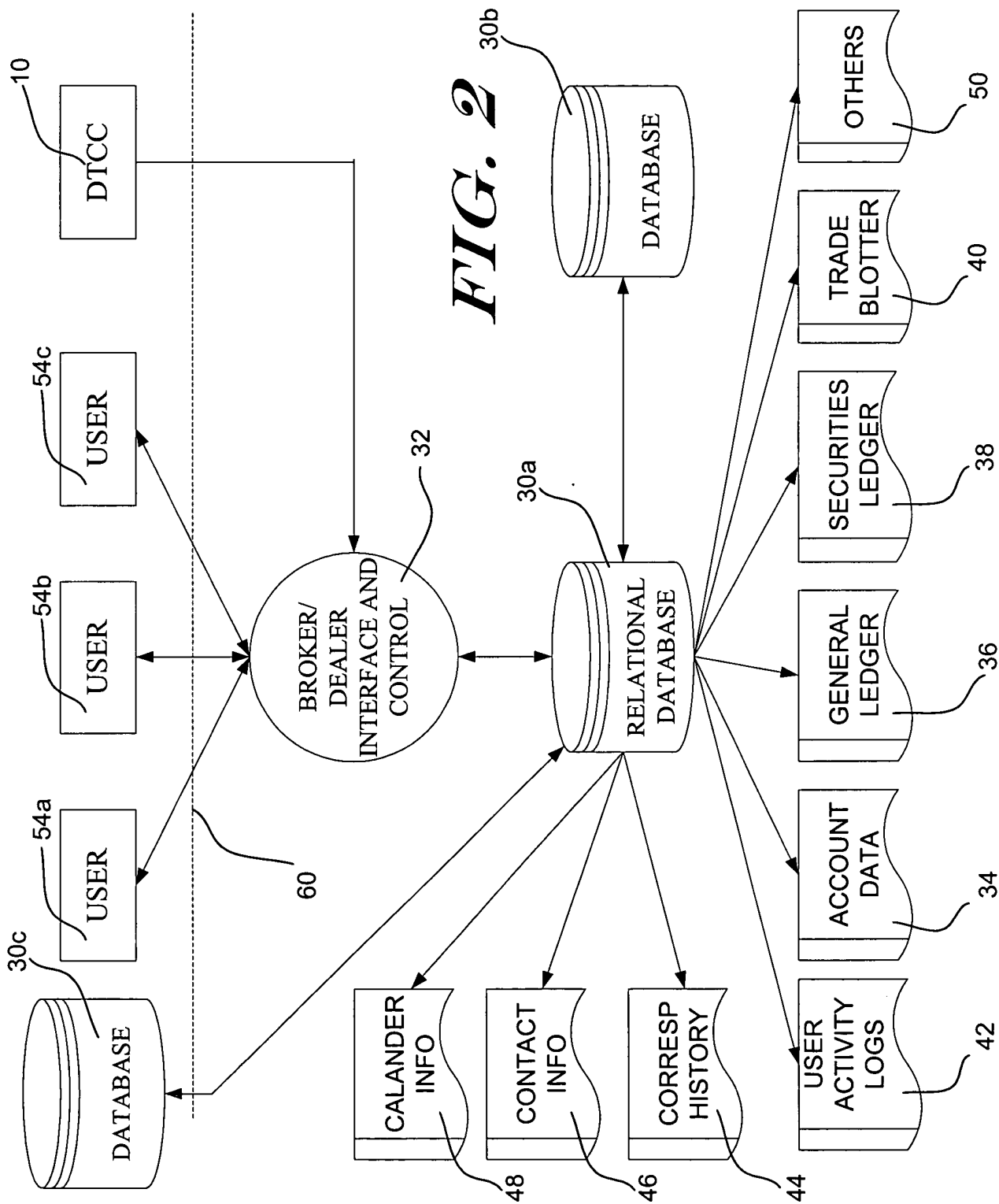
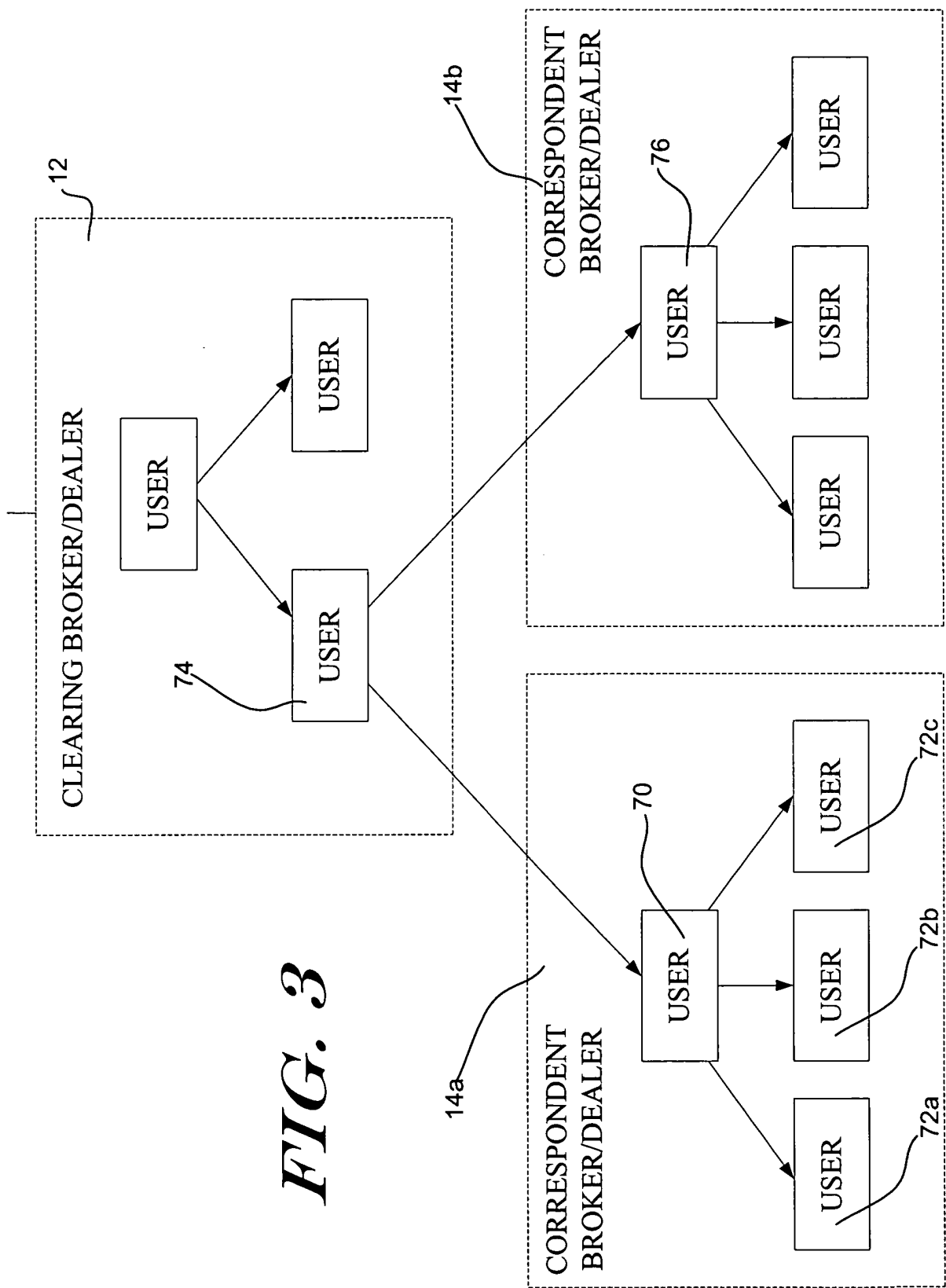


FIG. 1





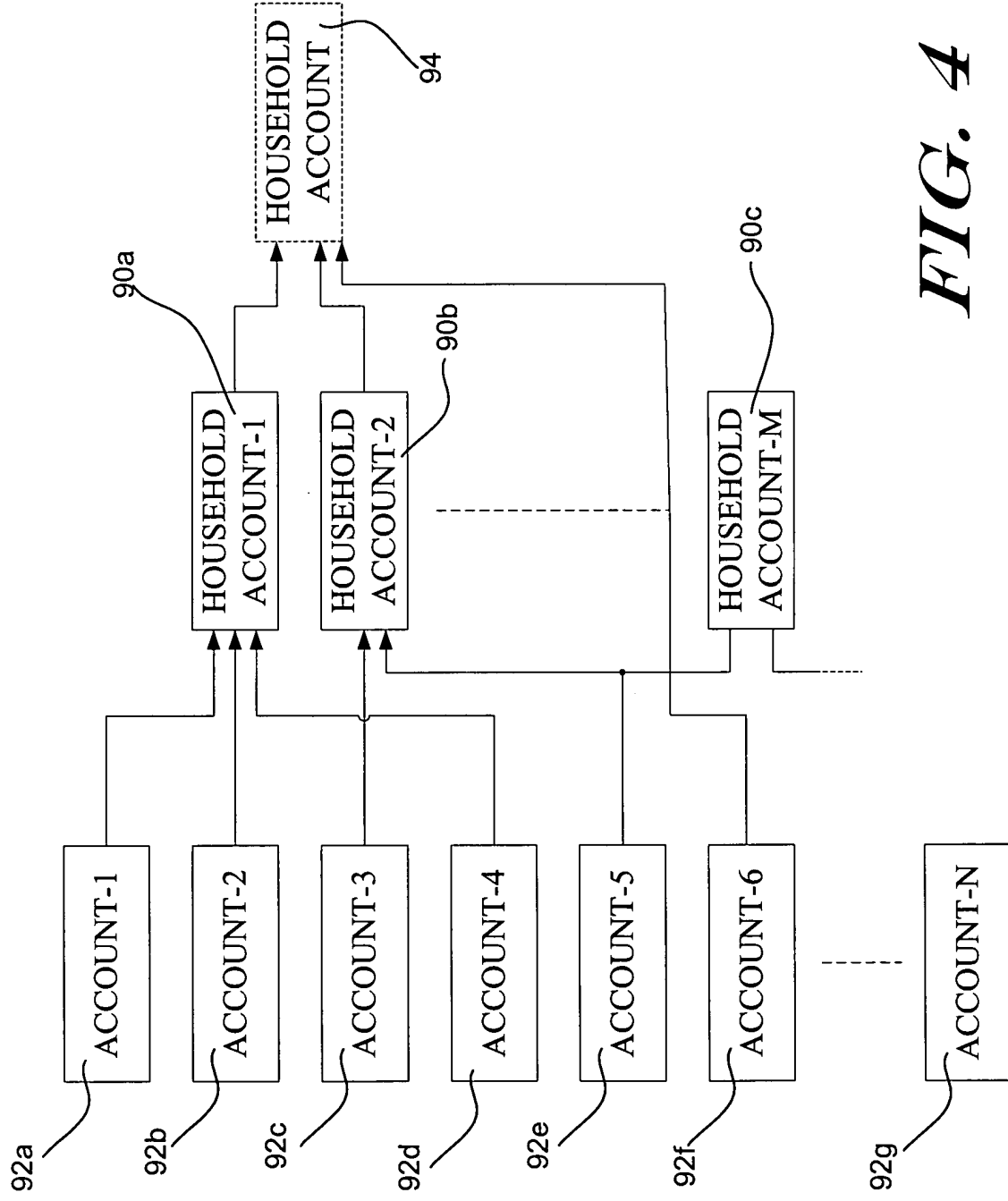


FIG. 4

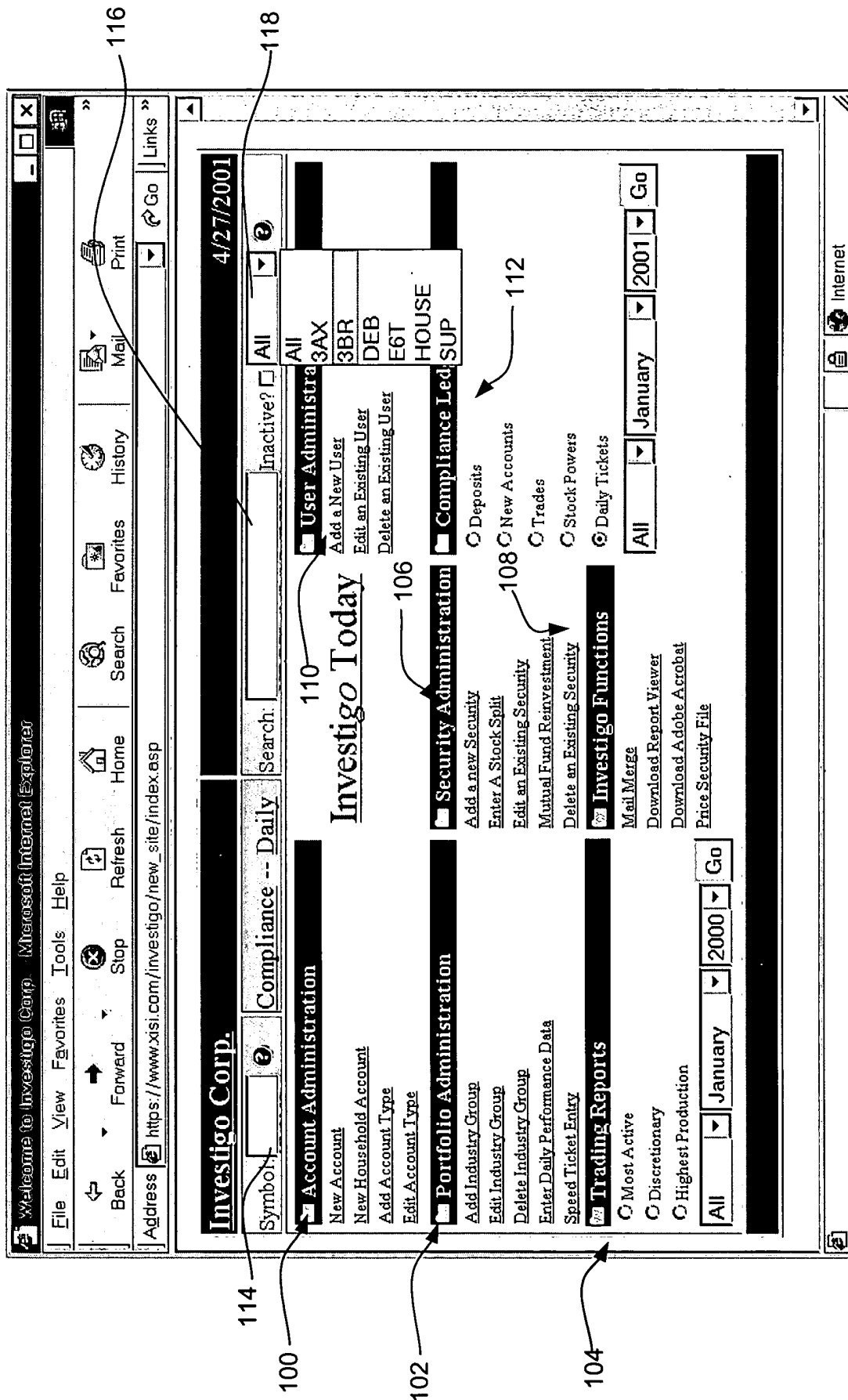


FIG. 5

FIG 260" 02121650

Investigo Corp. Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address https://www.xisi.com/investigo/active_blotter.asp?Represent=All&Month=01/31&Year=2000 Go Links

Investigo Corp.

- 10 Most active accounts for All Reps for the month ending 01/31/2000

Account Number	Client Name	Account Type	SSN
W636020323	Diane Glosson	Regular IRA	307-50-4245
W636019051	Richard Schreiber	Regular IRA	305-38-3491
317-62-3670	Stanley Gamble	401(k)	317-62-3670
308-70-8613	Michael Saxman	401(k)	308-70-8613
385-82-2226	Mark Reilly	401(k)	385-82-2226
305-60-3130	Lee Humbert	401(k)	305-60-3130
312-82-2943	Henry Gilbert	401(k)	312-82-2943
315-72-9043	Kathy Lefever	401(k)	315-72-9043
60952972D	Stanley D. Gamble	401(k)	317-62-3670
60952996D	Mark L. Reilly	401(k)	385-82-2226

Internet

FIG. 6

FIGURE 7-10

Investigo Corp.

- 10 Most active accounts for Rep 3BR for the month ending 10/31/2000

Account Number	Client Name	Account Type	SSN
W636080590	David A. Story	Regular IRA	303-52-5412
FERG6	Scott Fergusson	401(k)	304-96-1037
W632319364	Jeffrey L. Hinen	JTWROS	308-82-8501
W632014437	Mr. James E. Lauritsen	DVP	43-0497480
60688910	Carolyn E. Hein	403(b)	307-46-5353
64747090	Chelsey J. Coughlin	UGMA	313-13-3668
64747091	Bray J. Coughlin	UGMA	310-19-2016
FER5	Scott Fergusson	Regular IRA	304-96-1037
W632297842	Keith Edwards	JTWROS	315-52-2906
W636019770	Kim A. Lefever	Regular IRA	316-64-4482

FIG. 7

100260"02121660

Investigo Corp. Check Deposit ledger - Microsoft Internet Explorer						
File Edit View Favorites Tools Help						
<div> <div>Back Forward Stop Refresh Home Search Favorites History Mail Print</div> <div>Address https://www.xisi.com/investigo/deposits/ledger.asp?LedgerType=Month&Rep=All&Month=10/31&Year Go Links</div> </div>						
Investigo Corp.						
<ul style="list-style-type: none"> Check Deposit ledger for All for the Month ending 10/31/2000. 						
Date Received	Account Number	Account Name	Amount	Deposit Date	Payable To	Represent
10/1/2000	C017254-0D	Keith D. Class	-900	10/1/2000	Keith D. Class	3AX
10/2/2000	64923193	Shawn D. Ferro	150	10/2/2000	fund	3BR
10/2/2000	W636019127	Shirley Clem	-540	10/2/2000	Shirley Clem	3AX
10/2/2000	W636019127	Shirley Clem	-60	10/2/2000	Shirley Clem	3AX
10/2/2000	65099328	MaryJo LaVine	510	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65018634	Kelly M. LaVine	-10	10/2/2000	Kelly M. LaVine	3AX
10/2/2000	64955885	Patricia A. Vilches	-10	10/2/2000	Patricia A. Vilches	3AX
10/2/2000	64955885	Patricia A. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	65131336	Mariano R. Vilches	-10	10/2/2000	Mariano R. Vilches	3AX
10/2/2000	65131336	Mariano R. Vilches	2010	10/2/2000	Capital Bank & Trust	3AX
10/2/2000	W636019234	Coryll Miller	-500	10/2/2000	Coryll Miller	3AX
10/2/2000	W636019085	Ross Leakey	-520	10/2/2000	Ross Leakey	3AX
10/2/2000	64924065	Elizabeth E. Neuok	-300	10/2/2000	Elizabeth E. Neuok	3BR
10/2/2000	64923194	Heather A. Ferro	125	10/2/2000	fund	3BR
10/2/2000	W636019697	Gloria Weiler	-100	10/2/2000	Gloria Weiler	3AX
10/2/2000	W636020505	Dean Mansdorfer	-850	10/2/2000	Dean Mansdorfer	3AX
10/2/2000	W636020513	Nyla Mansdorfer	-350	10/2/2000	Nyla Mansdorfer	3AX
10/2/2000	W636020562	Frank Erwin	-600	10/2/2000	Frank Erwin	3AX
10/2/2000	W636058851	David B. Sensenich	-400	10/2/2000	David B. Sensenich	3AX
10/2/2000	W636081952	Gary S. Hall	-350	10/2/2000	Gary S. Hall	3AX
10/2/2000	W638026435	Dorothy M. Neuenschwander	-1500	10/2/2000	Dorothy M. Neuenschwander	3AX
10/2/2000	W638030924	Alfred E. Boyer	-223.7	10/2/2000	Alfred E. Boyer	3AX
10/2/2000	W636019622	Sophie Leakey	-200	10/2/2000	Sophie Leakey	3AX
10/2/2000	64831677	Doloris McCormick	-200	10/2/2000	Doloris McCormick	3AX
10/2/2000	W632293528	Ellen Jackson	-5000	10/2/2000	Ellen Jackson	3AX
9/30/2000	W632628913	William A. Oliver	1000.00	10/2/2000	Schroder & Co.	E6T
10/2/2000	W632669420	Robert W. Schnipke	200000	10/2/2000	Schroder & Co	3AX
10/2/2000	W632292801	Mazie Welbaum	-249.36	10/2/2000	Mazie Welbaum	3AX

FIG. 8

FIG. 9

Investigo Corp. Trade Blotter Ledger Microsoft Internet Explorer									
File Edit View Favorites Tools Help									
Back Forward Stop Refresh Home Search Favorites History Mail Print									
Address https://www.xsi.com/investigo/trade_blotter_1.asp?Represent=All&Month=10/31&Year=2000 Go Links									
Investigo Corp.									
Trade Buy Blotter for All for dates 10/1/2000 to 10/31/2000									
Trade Date	Settle Date	Buy / Sell	Account Number	Product	Shares	S/UNS	Buy Price	Buy Cost	Buy Commission
10/1/2000	10/4/2000	Buy	W632293452	C017254-00	60327.84	Unsolicited	1	0	0
10/2/2000	10/5/2000	Buy	W632669420	JALAX	3603.604	Solicited	15.54	55000	0
10/2/2000	10/5/2000	Buy	W632669420	IDGSX	1889.708	Solicited	13.02	22000	0
10/2/2000	10/5/2000	Buy	W632669420	RCVAX	1756.44	Solicited	17.08	30000	0
10/2/2000	10/5/2000	Buy	W632667689	LEIFX	0.194	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632665626	RCVAX	51.317	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632658555	RCVBX	11.881	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632588893	RCVBX	7.324	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632541066	BETM	300	Solicited	0.4375	187.6	50
10/2/2000	10/5/2000	Buy	W632498077	LEIBX	0.135	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632467411	QQQ	70	Solicited	88.5	6333.44	132.08
10/2/2000	10/5/2000	Buy	W632448502	RCVBX	16.242	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W636047672	RCVBX	47.063	Solicited	16.57	0	0
10/2/2000	10/5/2000	Buy	W632367388	RCVBX	21.917	Solicited	16.61	0	0
10/2/2000	10/5/2000	Buy	W632669420	OPPAX	485.784	Solicited	69.99	34000	0
10/2/2000	10/5/2000	Buy	W632356945	LEIFX	1.342	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632322475	RCVAX	40.796	Solicited	16.58	0	0
10/2/2000	10/5/2000	Buy	W632312666	AHITX	3.706	Solicited	12.97	0	0
10/2/2000	10/5/2000	Buy	W632306858	NABGX	13.93	Solicited	15.04	0	0
10/2/2000	10/5/2000	Buy	W632297412	LEIBX	0.292	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297347	LEIBX	0.576	Solicited	22.5	0	0
10/2/2000	10/5/2000	Buy	W632297107	KO	0.62	Solicited	54.937	34.22	0
10/2/2000	10/5/2000	Buy	W632295523	FDBBX	17.202	Solicited	8.79	0	0
Done Internet									

FIG. 9

10/26/2000 02:27:00

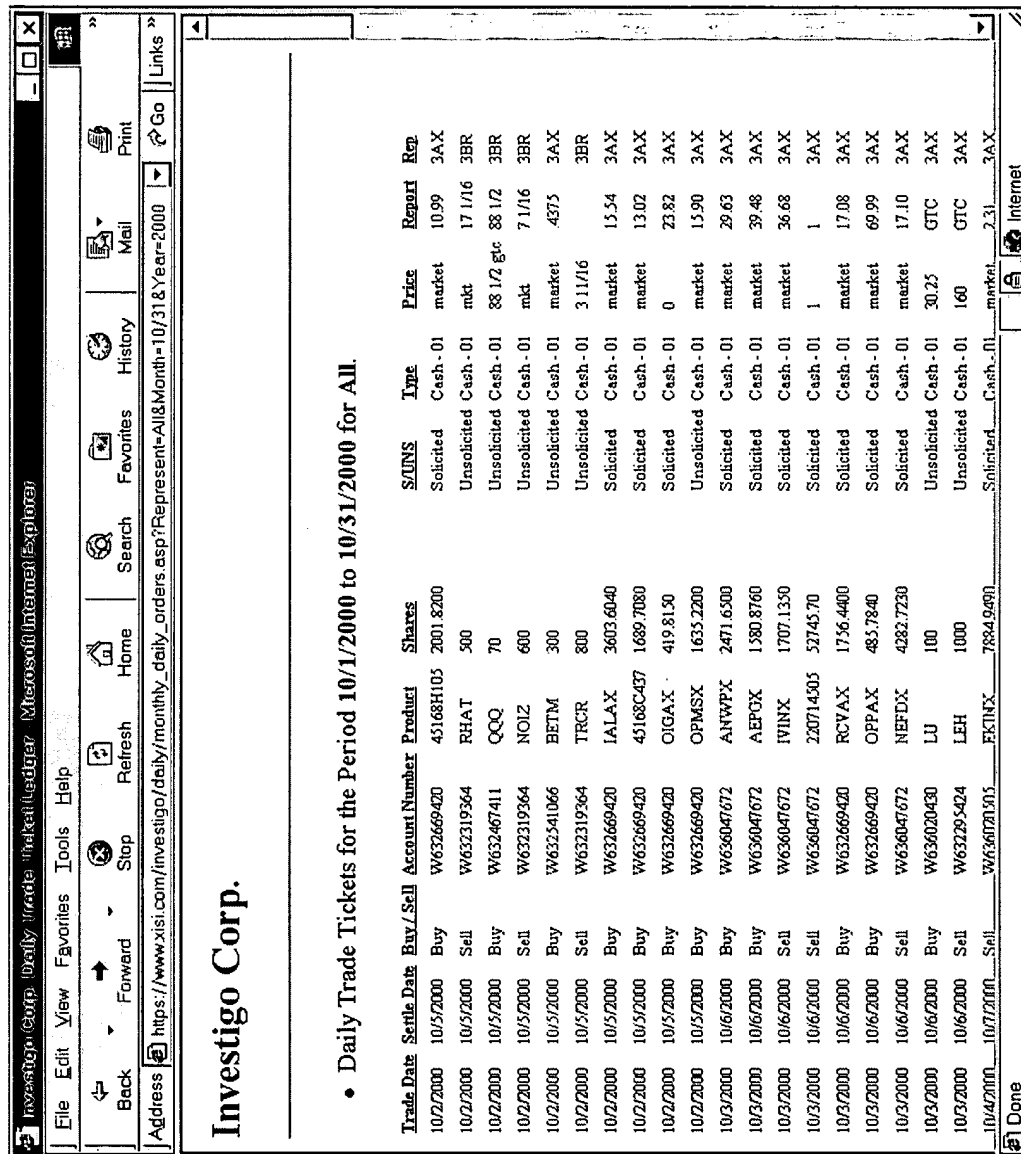


FIG. 10

100260-021266

Generate Mail Merge - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address https://www.xisi.com/investigo/mail_merge/merge_beta.asp Go Links

Symbol: Go Compliance -- Daily Account Number or Name: Lookup

Mail Merge

Create a custom mail merge file by defining the characteristics of the accounts:

By Account Registration

Representative
Account Type
Report Frequency
State of Residence

By Investment Objective

<input type="checkbox"/> LT Capital Appreciation	<u>Stocks</u>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Short Term Trading	<u>Bonds</u>	<input type="text" value="Don't Search"/>
<input checked="" type="checkbox"/> Business Man's Risk	<u>Options</u>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Income	<u>Futures</u>	<input type="text" value="Don't Search"/>
<input type="checkbox"/> Safety of Principal		
<input type="checkbox"/> Tax Exempt Income		

By Personal Interests

☒ Golf ☐ Tennis

By Holdings

<input checked="" type="checkbox"/> Owns Mutual Funds	<input type="checkbox"/> Owns Long Term Care Policies
<input type="checkbox"/> Owns Life Insurance	<input type="checkbox"/> Owns Variable Annuities

Symbol

Done Internet

150

152

154

156

158

FIG. 11

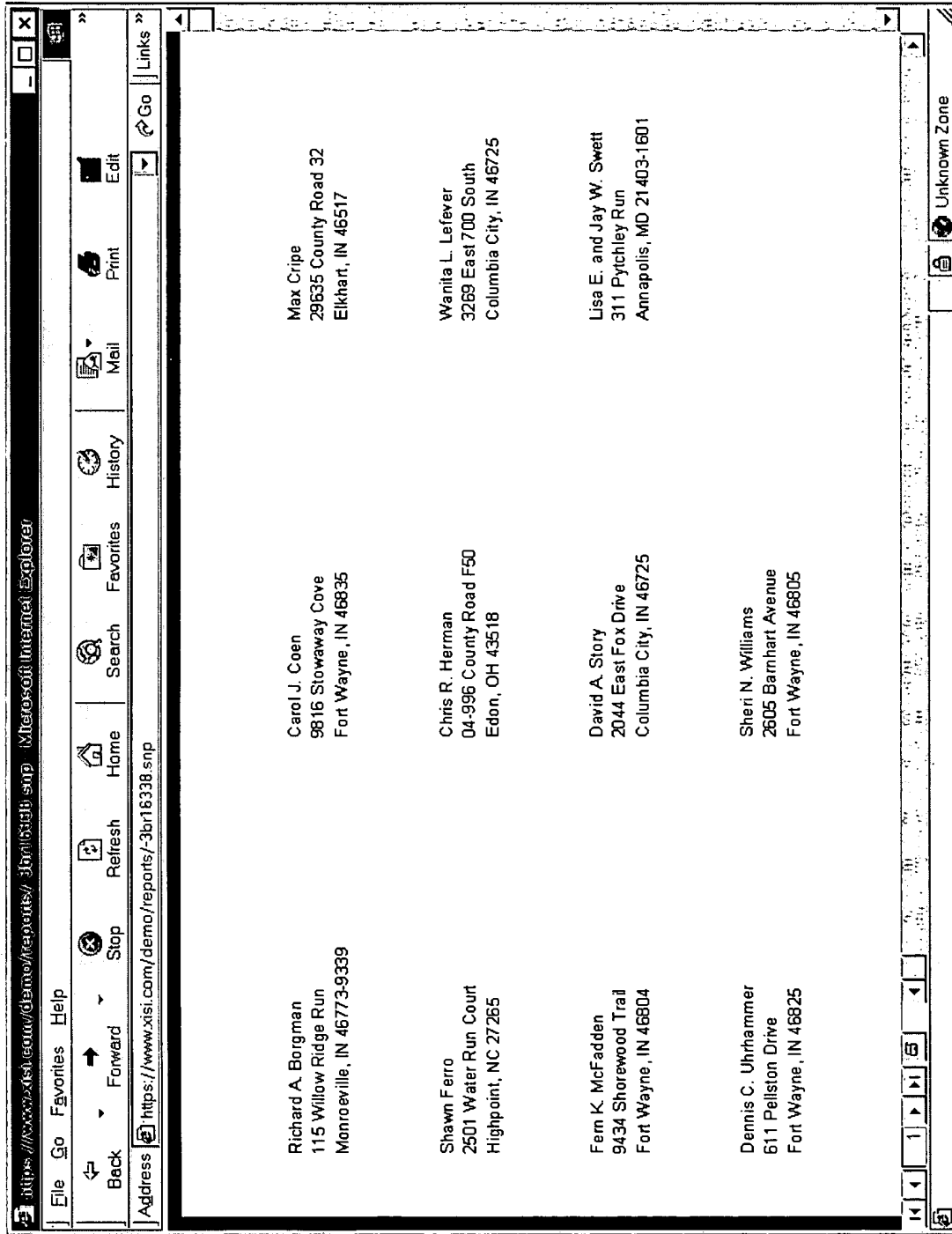
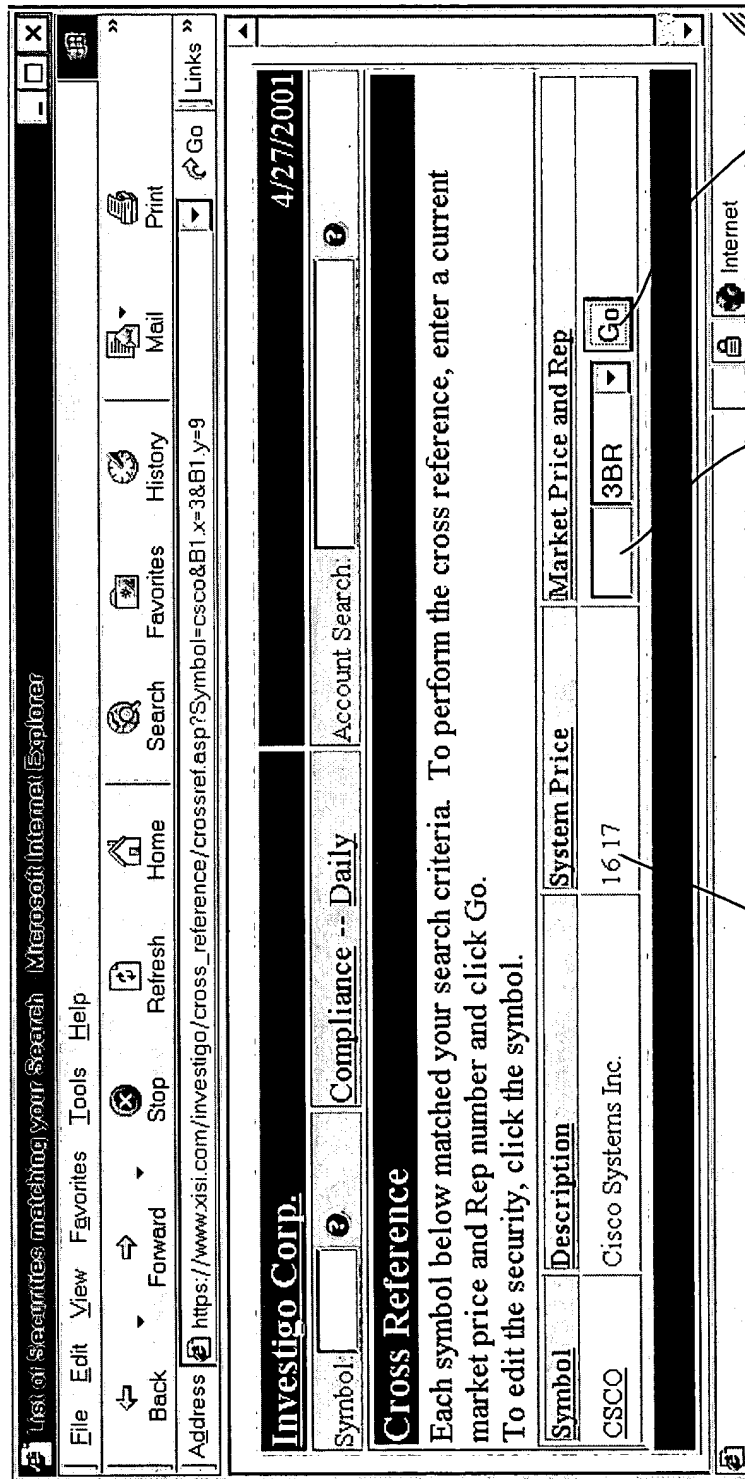


FIG. 12



164

FIG. 13

160

162

FIG. 14

180

Open Positions - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address https://www.xisi.com/investigo/cross_reference/crossrefperform.asp?NewPrice=&Broker=3BR&B1=Go&Symbol= Go Links

Investigo Corp. 4/27/2001

Symbol: Compliance -- Daily Account Search:

Cross Reference for Cisco Systems Inc.

List of Open Positions for CSCO, Currently Trading at 16.17 for Representative (3BR). To go to a specific account click on the Account Number. To sell a specific position, click on the Shares.

Cisco Systems Inc.-- (CSCO) at 16.17

Mail Merge

Account Number	Last Name	Symbol	Shares	Open Date	Avg. Price	Total Cost	P/L	Contact #'s
W632297834	Boval	CSCO	100	7/12/1999	33.8135	\$3,381.35	(\$1,764.35)	W:219-825-9457 H:219-825-5520
W632298345	Edwards	CSCO	195	3/24/2000	69.8983	\$13,630.16	(\$10,477.01)	W: H:219-635-2496
W636098170	Felber	CSCO	100	1/5/2000	50.6402	\$5,064.02	(\$3,447.02)	W: H:
W632297107	Kernen	CSCO	103	4/18/2000	68.1096	\$7,015.29	(\$5,349.78)	W:800-392-0844e272 H:770-967-4053
W632392841	Marques	CSCO	600	2/4/1999	29.6721	\$17,803.26	(\$8,101.26)	W:219-357-6557 H:219-357-5252
W632488060	Mason	CSCO	238	10/7/1999	47.0749	\$11,203.83	(\$7,355.37)	W:219-925-4939 H:219-837-6070
W632494886	McClain	CSCO	200	7/15/1999	33.3484	\$6,669.68	(\$3,435.68)	W:219-425-5792 H:219-497-0740
W632520656	Rienks	CSCO	110	7/21/1999	46.9189	\$5,161.08	(\$3,382.38)	W:270-251-1263 H:270-554-4701
W632645099	Silva	CSCO	20	3/23/2000	79.883	\$1,597.66	(\$1,274.26)	W:270-251-1109 H:270-554-5384

Done Internet

FIG. 14

FIG. 15

Investigo Today Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print Edit

Address <https://www.xsi.com/investigo/today/today.asp> Go Links

Investigo Corp. 4/27/2001

Symbol: Compliance -- Daily Account Search:

Friday, April 27, 2001

No appointments are on your Calendar for Today.

This week

22	23	24	25	26	27	28
----	----	----	----	----	----	----

This Month

← April 2001 →

S	M	T	W	T	F	S
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30					

Add an Appointment

Start Date

Start Time 8:00 AM

Duration 30 minutes

Title

Notes

Private? ☐

Add Appointment

Announcements

New! Uncover Variable Annuity sales in your own business immediately.

New! Choose to receive your monthly backup electronically and save \$50.

Clients to contact this Month Merge

Shirley K. Bassett	Thomas A. Bassett
Brian Call	Mary Client
Richard Cox	Kathleen F. Cripe
Brent Edwards	Austin Fergusson
Robert Gibbeny	Sheila M. Gravely
Kathy J. Lefever	William L. McClain
Sheila M. Nave	Susan Rineholt
Donna J. Sealscott	Patrick Sievers
Casey Stafford	Kenneth Stocker

Birthdays this Month Merge

Wanita L. Lefever	4/1/1933
Max Cripe	4/11/1946
Fern K. McFadden	4/7/1947
David A. Story	4/10/1947
Carol J. Coen	4/5/1948
Richard A. Borgman	4/23/1960
Sheri N. Williams	4/1/1961
Chris R. Herman	4/17/1961
Lisa E. and Jay W. Swett	4/14/1966
Dennis C. Uhrhammer	4/3/1970
Shawn Ferro	4/12/1972
Kent A. Christman	4/14/1983

TrueSync TECHNOLOGY PLATFORM

Internet

FIG. 15



FIG. 16

FIG. 17

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222

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Account Screen - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address https://www.xisi.com/investigo/new_site/screen.asp?AccountNo=JDEMO Go Links

Investigo Corp. 4/27/2001

Symbol: Compliance: **Daily** Account Search:

JDEMO Joseph Client-- IRA Rollover ~Tell Me about...

Information **Action** **Administration**

123 West Main Street
P.O. Box 12345
Fort Wayne, IN 46804
219-555-1212 (H)
219-555-1234 (W)
joe@investigo.net

Appraisal Date: 4/26/2001 Go

Trade: **Buy** Go

Edit Account Information Go

Edit Open Transactions Go

Make a Cash Deposit Go

Holdings

Quantity	Symbol	Date Open	Unit Price	Net Cost	Market Price	Market Value	Gain/Loss
1644.196	AGTHX	1/2/2001	30.410	\$50,000.00	24.53	\$40,332.13	(\$9,667.87)
3445.256	AMUSX	3/10/1999	12.539	\$43,200.00	13.18	\$45,408.49	\$2,208.49
3267.403	ANEFX	4/8/1999	22.954	\$75,000.00	20.43	\$66,753.04	(\$8,246.96)
2315.196	ANWPX	5/17/1999	24.058	\$55,700.00	23.27	\$53,874.62	(\$1,825.38)
1834.733	AWSHX	3/15/1999	24.594	\$45,124.02	28.97	\$53,152.24	\$8,028.22
1111.652	MSIGX	3/10/1999	38.861	\$43,200.00	33.9	\$37,685.00	(\$5,515.00)
2335.793	PIVAX	4/30/1999	32.109	\$75,000.00	29.27	\$68,368.67	(\$6,631.33)
394.22	STIF	6/30/2000	1.000	\$394.22	1	\$394.22	\$0.00

Total Equity: \$365,968.36

Objectives **Personal** **Contact History**

Long Term Cap App. ☒ SSN#: 123-45-6789

Short Term Trading ☐ Birthday: 12/31/1940

Business Man's Risk ☐ Employer: GTE

Income ☒ Occupation: Technician

Safety of Principal ☐ Net Worth: 500K +

Tax-Exempt Income ☐ Liquid Net Worth: 500K +

Date	Type	Notes
4/27/2001	Telephone	Create New Go
4/26/2001		Spoke with Joe regarding

[View JDEMO's Contact History](#)

Done Internet

FIG. 17

FIG. 18

260

Account Screen - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address https://www.xsi.com/investigo/new_site/screen.asp?AccountNo=JDEMO Go Links

Investigo Corp. 4/27/2001

Symbol: ? Compliance -- Daily Account Search: ?

☐ JDEMO Joseph Client-- IRA Rollover ~Tell Me about...

Information	Action	Administration
123 West Main Street P.O. Box 12345 Fort Wayne, IN 46804 ☎ 219-555-1212 (H) ☎ 219-555-1234 (W) ✉ joe@investigo.net	Realized G/L <input type="button" value="Go"/> Appraisal <input type="button" value="Go"/> Appraisal Graph Asset Allocation <input type="button" value="Go"/> Asset Alloc. Graph Realized G/L Performance	Edit Account <input type="button" value="Go"/> Information Edit <input type="button" value="Go"/> Open <input type="button" value="Go"/> Transactions Make a <input type="button" value="Go"/> Cash Deposit <input type="button" value="Go"/>

Holdings

Quantity	Symbol	Date Open	Unit Price	Net Cost	Market Price	Market Value	Gain/Loss
1644.196	AGTHX	1/2/2001	30.410	\$50,000.00	24.53	\$40,332.13	(\$9,667.87)
3445.256	AMUSX	3/10/1999	12.539	\$43,200.00	13.18	\$45,408.49	\$2,208.49
3267.403	ANEFX	4/8/1999	22.954	\$75,000.00	20.43	\$66,753.04	(\$8,246.96)
2315.196	ANWPX	5/17/1999	24.058	\$55,700.00	23.27	\$53,874.62	(\$1,825.38)
1834.733	AWSHX	3/15/1999	24.594	\$45,124.02	28.97	\$53,152.24	\$8,028.22
1111.652	MSIGX	3/10/1999	38.861	\$43,200.00	33.9	\$37,685.00	(\$5,515.00)
2335.793	PIVAX	4/30/1999	32.109	\$75,000.00	29.27	\$68,368.67	(\$6,631.33)
394.22	STIF	6/30/2000	1.000	\$394.22	1	\$394.22	\$0.00

Total Equity: \$365,968.36

Objectives	Personal	Contact History									
Long Term Cap App. <input checked="" type="checkbox"/> Short Term Trading Business Man's Risk <input type="checkbox"/> Income <input checked="" type="checkbox"/> Safety of Principal <input type="checkbox"/> Tax-Exempt Income	SSN#: 123-45-6789 Birthday: 12/31/1940 Employer: GTE Occupation: Technician Net Worth: 500K + Liquid Net: 500K +	<table border="1"> <thead> <tr> <th>Date</th> <th>Type</th> <th>Notes</th> </tr> </thead> <tbody> <tr> <td>4/27/2001</td> <td>Telephone <input type="button" value="Go"/></td> <td>Create New <input type="button" value="Go"/></td> </tr> <tr> <td>4/26/2001</td> <td></td> <td>Spoke with Joe regarding</td> </tr> </tbody> </table> <p>View JDEMO's Contact History</p>	Date	Type	Notes	4/27/2001	Telephone <input type="button" value="Go"/>	Create New <input type="button" value="Go"/>	4/26/2001		Spoke with Joe regarding
Date	Type	Notes									
4/27/2001	Telephone <input type="button" value="Go"/>	Create New <input type="button" value="Go"/>									
4/26/2001		Spoke with Joe regarding									

Done Internet

FIG. 18

100260" OCT 27 2000

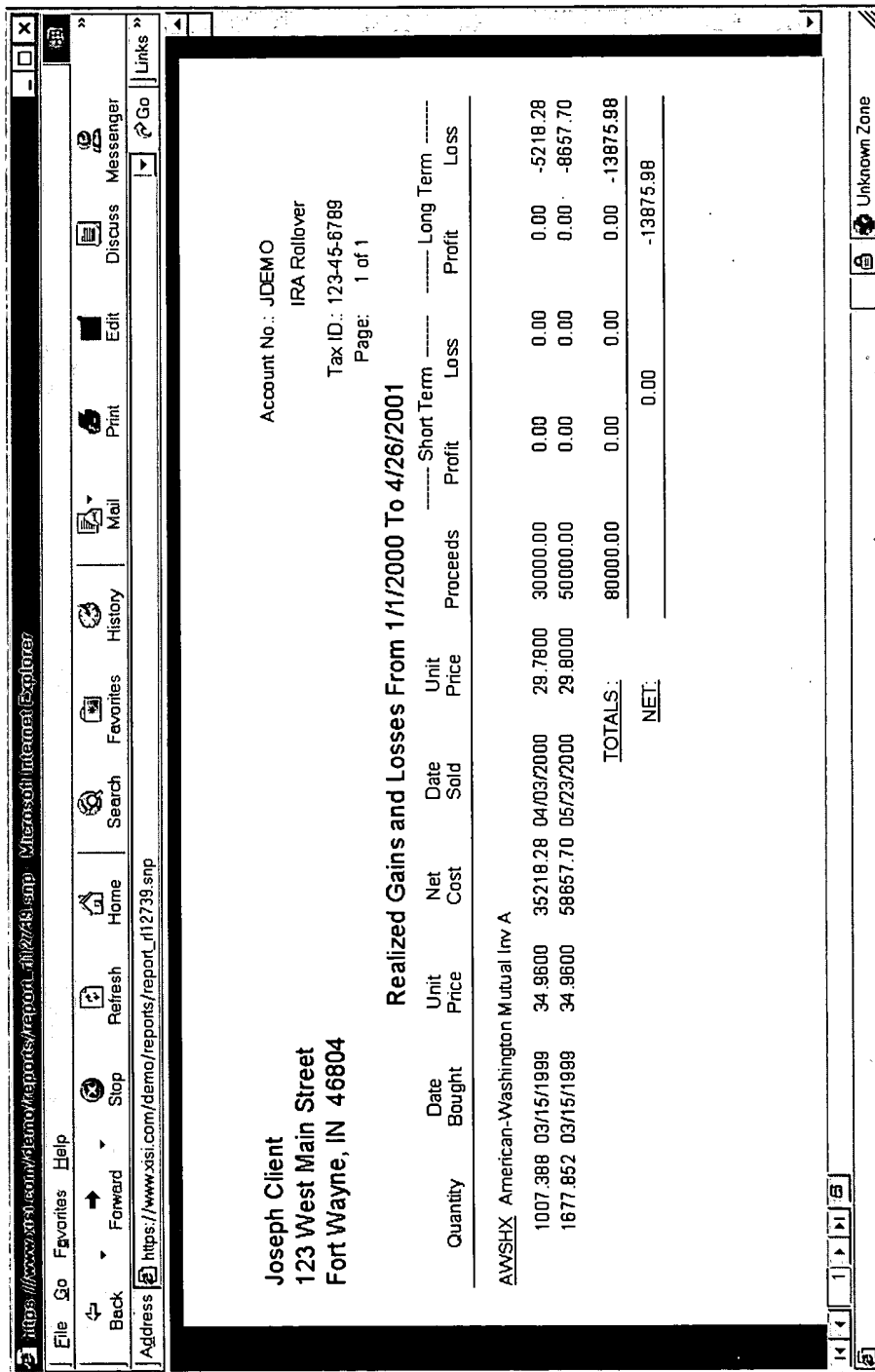


FIG. 19

Account Screen

Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Refresh Stop Search Favorites History Mail Print Edit Discuss

Address https://www.xisi.com/investigo/new_site/screen.asp?AccountNo=JDEMO

Investigo Corp.

Symbol:

Compliance -- Daily

Account Search:

Joseph Client-- IRA Rollover ~Tell Me about...

Information

123 West Main Street

P.O. Box 12345

Fort Wayne, IN 46804

219-555-1212 (h)

219-555-1234 (w)

joe@investigo.net

Appraisal

Date: 4/26/2001

Trade: Buy

Buy

Cover

Sell

Sell Short

Go

Go

Go

Go

Go

Administration

Edit Account Information

Open Transactions

Make a Stock Deposit

Go

Go

Go

4/27/2001

Holdings

Quantity	Symbol	Date Open	Net Cost	Market Price	Market Value	Gain/Loss
1644.196	AGTHX	1/2/2001	\$50,000.00	24.53	\$40,332.13	(\$9,667.87)
3445.256	AMUSX	3/10/1999	\$43,200.00	13.18	\$45,408.49	\$2,208.49
3267.403	ANEFX	4/8/1999	\$75,000.00	20.43	\$66,753.04	(\$8,246.96)
2315.196	ANWFX	5/17/1999	\$55,700.00	23.27	\$53,874.62	(\$1,825.38)
1834.733	AWSHX	3/15/1999	\$45,124.02	28.97	\$53,152.24	\$8,028.22
1111.652	MSIGX	3/10/1999	\$43,200.00	33.9	\$37,685.00	(\$5,515.00)
2335.793	PIVAX	4/30/1999	\$75,000.00	29.27	\$68,368.67	(\$6,631.33)
394.22	STIF	6/30/2000	\$394.22	1	\$394.22	\$0.00

Total Equity: \$365,968.36

Objectives

Long Term Cap App. ☒

Short Term Trading

Business Man's Risk

SSN#

123-45-6789

Birthdate

12/31/1940

Employer

GTE

Date

4/27/2001

Type

Telephone

Notes

Create New

Go

Done

Internet

Trade Entry Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address <https://www.xist.com/investgo/posting/orderdesk.asp?Action=Buy&B1=Go&reportdate=4%2F27%2F2001> Go Links

Investigo Corp. 4/27/2001

Symbol: Compliance: -- Daily Account Number or Name:

Trade Entry

JDEMO Joseph Client-- IRA Rollover

<u>Trade Date</u>	4/27/2001	<u>Trade Type</u>	Buy
<u>Amount</u>	1000	<u>Symbol or CUSIP</u>	ibm
<u>Price</u>	33.00	<u>Solicitation Status</u>	Solicited
<u>Commission</u>	600	<u>Location of Shares</u>	Long
<u>Fees and/or charges</u>	65.00	<u>Reinvest</u>	None or N/A
<u>Sales charge</u>	0	- For Mutual Funds	
<u>Cost or Proceeds Override</u>		- Overrides automatic calculation	
<u>Order Entered By</u>	3br		

Notes

Recommended to client

Confirm This Trade

Done Internet

270

FIG. 21

268

C:\Program Files\Internet Explorer\Internet Explorer.exe	
File	Edit View Favorites Tools Help
Back	Forward
Stop	
Refresh	Home
Search	Favorites History Mail Print
Address <input type="text" value="http://www.investigo.com/notes.html?order_enter=3&notes=Recommended+to+client&Submit=Confirm+This+Trade"/>	
Go Links	

Investigo Corp.		4/27/2001
Symbol: <input type="text"/>	Compliance -- <input checked="" type="radio"/> Daily	Account Number or Name: <input type="text"/> Lookup

Trade Entry

JDEMO Joseph Client -- IRA Rollover

Trade Date	Amount	Price	Commission	Fees and/or charges	Sales charge	Total Fees	Total Cost	Order Entered By	Notes
4/27/2001	1000	33	\$600.00	\$65.00	0	\$665.00	\$33,665.00	3br	Recommended to client

Trade Type	Symbol or CUSIP	Solicitation Status	Location of Shares	Reinvest
Buy	INTERNATIONAL BUSINESS MACHINES COR (IBM)	Solicited	Long	None

Execute this Buy Order /

Done Internet

FIG. 22

Account Screen

Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back

Forward

Stop

Refresh

Home

Search

Favorites

History

Mail

Print

Edit

Address

https://www.xisi.com/investigo/new_site/screen.asp?AccountNo=JDEMO

Go

Links

Investigo Corp.

4/27/2001

Symbol: JDEMO

Compliance -- Daily

Account Search:

Joseph Client-- IRA Rollover ~Tell Me about...

Administration

Edit Account Information

Edit

Open Transactions

Make a Stock Deposit

Cash Deposit Withdrawal

Stock Deposit

Reinvest Option

Go

Go

Go

Go

Go

Go

Information

123 West Main Street

P.O. Box 12345

Fort Wayne, IN 46804

219-555-1212 (H)

219-555-1234 (W)

joe@investigo.net

Appraisal

Date: 4/26/2001

Trade: Buy

Go

Go

Holdings

Quantity	Symbol	Date Open	Unit Price	No	Market Value	Gain/Loss
1644.196	AGTHX	1/2/2001	30.410	53	\$40,332.13	(\$9,667.87)
3445.256	AMUSX	3/10/1999	12.539	13.18	\$45,408.49	\$2,208.49
3267.403	ANEFX	4/8/1999	22.954	20.43	\$66,753.04	(\$8,246.96)
2315.196	ANWPX	5/17/1999	24.058	23.27	\$53,874.62	(\$1,825.38)
1834.733	AWSHX	3/15/1999	24.594	28.97	\$53,152.24	\$8,028.22
1111.652	MSIGX	3/10/1999	38.861	33.9	\$37,685.00	(\$5,515.00)
2335.793	PTVAX	4/30/1999	32.109	29.27	\$68,368.67	(\$6,631.33)
394.22	STIF	6/30/2000	1.000	1	\$394.22	\$0.00

Done

Internet

FIG. 23

100260-02121660

Irrevocable Stock or Bond Power - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail Print

Address https://www.xisi.com/investiga/stock_power/stock_power_confirm.asp?account_no=JDEMO&e_date=4%2F27%2F Go Links

IRREVOCABLE STOCK OR BOND POWER

FOR VALUE RECEIVED, the undersigned does (do) hereby sell, assign, and transfer to

Joseph Client SSN#: 123-45-6789
123 West Main Street
Fort Wayne, IN 46804

15 shares of the Common stock of INTERNATIONAL BUSINESS MACHINES COR (ibm)

If Stock, (
Complete (represented by Certificate(s) No(s) 12232293 inclusive,
This (
Portion (Standing in the name of the undersigned on the books of said Company.

If Bonds, (_____ bonds of _____
Complete (
This (in the principal amount of \$ _____ No(s) _____ inclusive,
Portion (
(standing in the name of the undersigned on the books of said company.

The undersigned does (do) hereby irrevocably constitute and appoint _____ attorney to transfer the said stock or bond(s), as the case may be, on the books of said Company, with full power of substitution in the premises.

Dated: 4/27/2001

IMPORTANT-READ CAREFULLY
The signature(s) to this Power must correspond with the name(s) as written upon the face of the certificate(s) or bond(s) in every particular without alteration or enlargement or any change whatever. Signature guarantee should be made by a member or member organization of the New York

Joseph Client

SIGNATURE GUARANTEED

Done Internet

FIG. 25

List of trades in the Account - Microsoft Internet Explorer

File Edit View Favorites Tools Help

Back Forward Stop Refresh Home Search Favorites History Mail

Address https://www.xisi.com/investigo/posting/edit/edittrans_spec.asp?AccountNo=JDEMO&Type=O Go Links

Investigo Corp.

4/27/2001

Symbol: <input type="text"/>	Compliance -- Daily	Account Number or Name: <input type="text"/>
------------------------------	-------------------------------	--

Specific Trades for ANEFX, American-New Economy Fund

Here are the Open trades for JDEMO. To edit the trade, click on the trade ID.

To Sell a Specific Position, Click on the Share Amount.

To delete a trade, click on the trash can icon.

To edit ANEFX's database entry, [click here.](#)

Trade ID	Buy Date	Symbol	Shares	Buy Price	Buy Cost	Delete?
<u>Q128295</u>	4/8/1999	ANEFX	2910.361	25.77	\$75,000.00	
<u>Q128262</u>	6/18/1999	ANEFX	4.498	25.88	\$0.00	
<u>Q128272</u>	12/14/1999	ANEFX	352.544	27.45	\$0.00	

FIG. 26

FOI260" 02727660




Correspondence History - Microsoft Internet Explorer			
Investigo Corp.		4/27/2001	
Correspondence History for JDEMO			
<u>Date</u>	<u>Type</u>	<u>Enterer</u>	<u>Notes</u>
<u>4/26/2001</u>		Joe	Spoke with Joe regarding the account. He is satisfied so far. Check back next month.
<u>4/11/2001</u>		Joe	Met with Joe and discussed his account. Check back in 3 months.
<u>2/21/2001</u>		Joe	Sent him an appraisal and a realized g/l statement for

FIG. 27

Investigo Corp.

Symbol:

Compliance -- Daily

Account Number or Name:

4/27/2001

Joseph Client -- Customer since 1999

Year to Date Productivity

Client

Average

\$2,439

Client

Average

\$204

Referred by: Scott O. Fergusson

Client

Average

7

Client

Average

3

Contact History

Date	Type	Person	Notes
5/28/2001	Telephone	Joe	Spoke with Joe regarding the account. He is satisfied so far. Check back next month.
4/11/2001	Meeting	Joe	Met with Joe and discussed his account. Check back in 3 months.
4/4/2001	Meeting	Hope	Met with Hope and reviewed her Variable Annuity. Hope is pleased with the performance and wants to be updated quarterly.
2/21/2001	Letter	Joe	Sent him an appraisal and a revised g/l statement for the quarter.
2/16/2001	Telephone	Joe	Spoke regarding his account. Stated that he is extremely pleased and wants to review in one month.
2/14/2001	Letter	Joe	Sent him a review of the PTAX. He is considering adding more. Call in a month.
8/14/2000	Letter	Joe	Sent Joe a review letter re: ALVEX.
8/14/2000	Telephone	Joe	Spoke with Joe re: PTAX.
8/13/2000	Meeting	Scott	Met with Mr. Client to review his account. Presented Asset Allocation and revised g/l statement.
5/21/2000	Meeting	Scott	Met with Mr. Client today regarding his Asset Allocation.

Contact Joseph Client every Quarter

Notes and Relevant Information

Joe wants regular contact. He won't want to make large purchases of any single stock, though.

Hobbies and Interests

<input type="checkbox"/> Golf	<input checked="" type="checkbox"/> Travel
<input type="checkbox"/> Tennis	<input type="checkbox"/> Gardening
<input type="checkbox"/> Automotive	<input type="checkbox"/> Music
<input type="checkbox"/> Computers	<input type="checkbox"/> Reading
<input type="checkbox"/> Arts	<input type="checkbox"/> Audiophile
<input type="checkbox"/> Antiques	<input type="checkbox"/> Sports

Personal Information

Salutation	Joe Bob
CPA	David Wade
Attorney	Dale Bloom
Spouse's Name	Martha
Nickname	Joey
Anniversary	10/12/78

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